

**Program for Institutional Internationalization for Brazilian Higher Education and Research
Institutions Capes-Print**

Public Call No. 41/2017

**This is a simplified version of the original public call. The full version (in Portuguese) is
available at the Capes-Print [webpage](#).**

The Brazilian Federal Agency for Support and Evaluation of Graduate Education – Capes through its Directorate of International Affairs - DRI, publishes the Program for Institutional Internationalization for Brazilian Higher Education and Research Institutions that have Postgraduate Programs (PPGs) recommended by Capes in accordance with the provisions of this Call and the applicable legislation.

1. ON THE OBJECTIVES

1.1. This Call aims at the selection of Institutional Internationalization Projects for Higher Education Institutions or Research Institutes that have at least 4 (four) Postgraduate Programs (PPG) recommended by Capes in the quadrennial evaluation of 2017, with a minimum score of 4 (four) points, among which there must be at least 2 (two) doctorate courses.

1.2. The **objectives** of the Program are:

- 1.2.1. Foster the construction, implementation and consolidation of strategic plans for internationalization of the institutions contemplated in the areas of knowledge they prioritize;
- 1.2.2. Stimulate the formation of international research networks with a view to improve the quality of academic production linked to postgraduate studies;
- 1.2.3. Expand the actions to support internationalization in the postgraduate courses of the contemplated institutions;
- 1.2.4. Promote the mobility of lecturers and students, with emphasis on doctoral students, postdoctoral students, Brazilian lecturers abroad and foreign lecturers in Brazil, linked to *stricto sensu* postgraduate programs with international cooperation.
- 1.2.5. Foster the transformation of participating institutions into an international environment.
- 1.2.6. Integrate other Capes development actions into the internationalization effort.

2. ON THE BUDGETARY AND FINANCIAL RESOURCES

- 2.1. The Call aims to select up to **40 (forty) Institutional Internationalization Projects** through evaluation of academic and scientific merit of the proposals and according to the budgetary and financial availability of Capes.
- 2.2. The present Call has the annual budgetary forecast of up to R\$300,000,000.00 (three hundred million reais). For the year 2018, the forecast is to execute up to R\$150,000,000.00 from November.
- 2.3. The Institutional Internationalization Projects approved by Capes will not receive supplemental amounts of any kind, including those due to exchange rate, and may be subject to eventual budgetary contingencies that affect Capes. On such occasions, Institutional Internationalization Project Managers should adapt to the new financial and budgetary situation.
- 2.4. Capes will only implement the Institutional Internationalization Projects after the Proposed Institutions comply with all the necessary procedures for granting the funds.
- 2.5. Other sources of funding from public or private institutions, national or international, may be used by the Proposing Institutions, to supplement Capes' financing to the Internationalization Institutional Project and optimize the results.
- 2.6. In case of use of resources from other sources, the monitoring of the Institutional Internationalization Projects should be included in the spreadsheet of resources applied.

3. ON THE REQUIREMENTS OF PROPOSALS

- 3.1. The proposal must meet the requirements below.
- 3.2. **Requirements of Proposing Institutions**
 - 3.2.1. Will be eligible for this present call the Higher Education Institutions and Research Institutes that have at least 4 (four) PPGs *stricto sensu* recommended by Capes in the quadrennial evaluation of 2017, among which there must be at least 2 (two) with doctorate courses.
 - 3.2.2. The proponent HEI shall have an Institutional Internationalization Plan or a congenial document, with validity that covers the whole period of the Project.
 - 3.2.3. The Institutional Internationalization Projects should indicate their strategic themes for the internationalization actions to be developed according to the competencies and priority areas defined by the Proponent Institution.

- 3.2.4. Each Proposing Institution will present only one proposal, in which it will describe the strategic themes and list all the PPGs that will work on these topics. The choice of these PPGs should be justified.
- 3.2.5. Proposals submitted by more than one Proposing Institution or by associations of universities or research institutes will not be accepted.
- 3.2.6. Networked PPGs will only be considered when they are linked to the Proposing Institutions issuing the respective diploma.

3.3. **Requirements for the proponent of the Institutional Internationalization Project**

- 3.3.1. The proponent of the Institutional Internationalization Project, which if approved will be its **Manager**, should:
 - 3.3.1.1. Be the Postgraduate Pro-Rector of the Proponent Institution, or holder of a similar position according to the institutional structure, and be permanently employed.
 - 3.3.1.2. Be Brazilian or naturalized, or foreigner with permanent residence visa in Brazil.
 - 3.3.1.3. In a possible substitution of the Pro-Rector, the management of the Institutional Internationalization Project shall necessarily be transferred to the new occupant of the position.

3.4. **Requirements for the proposed Institutional Internationalization Projects**

- 3.4.1. The proposed **Institutional Internationalization Projects** should present the following basic requirements:
 - 3.4.1.1. **Alignment with the Institutional Internationalization Plan**, or a related document approved by a competent body (higher council responsible for matters related to Post-Graduation, or other body delegated by this board) that contains the medium to long-term internationalization strategy of Proponent Institution.
 - 3.4.1.2. **Management Group of the Institutional Internationalization Project** formed by professors who are advisors in *stricto sensu* postgraduate programs with permanent employment relationship in the Proponent Institution with academic leadership and international experience in the areas defined as priority, **as well as at least 1 (one) foreign member linked to a HEI abroad.**
 - 3.4.1.3. The Management Group should consider different areas of knowledge,

according to the institutional vocation of the HEI, and will be coordinated by the Pro-Rector of Post-Graduation or equivalent position (Manager of the Institutional Internationalization Project).

- 3.4.1.4. **Institutional Internationalization Diagnosis**, with the description of current structure, including the qualification of their technical staff for internationalization, demonstrating indicators of their weaker and stronger points, their competencies and institutional vocations, justifying their priorities.
- 3.4.1.5. **Objectives** of the Institutional Internationalization Project.
- 3.4.1.6. **Indicators and goals**, in which they will subsidize the proposal elaboration, the follow up of the execution and the intermediate evaluation to continue with the Institutional Internationalization Project, according to the indicators that will be launched at Capes-PrInt webpage at Capes portal www.capes.gov.br
- 3.4.1.7. **Preview of curricular structure of the programs** for the PPGs referring to material insertion, themes and disciplines in foreign language.
- 3.4.1.8. **Modalities of contemplated benefits from the Institutional Internationalization Project**, according to the financial items predicted at section 4 (On the Funding Available) of the present call.
- 3.4.1.9. **Selection of the beneficiaries** for the financed actions from the Institutional Internationalization Project, according to the financeable items available at item 4 of the present call, respecting the requirements and procedures established by the proponent Institution and by Capes under their normative instruments (Ordinance Capes nº 186, September 29, 2017; nº 201 and nº 202, October 16, 2017; nº 08, January 12, 2018, and other pertinent instruments), especially which concerns to:
 - a) Transparency in the publishing of the financial opportunities, in which they should select the candidates/proponents per call with a considerable spread to the public target of the contemplated institution;
 - b) Detail of the merit credits for the selection of the beneficiaries beyond the Institutional Internationalization Project;
 - c) In the case of the scholarships, to include the ineligible criteria of candidates according to the normative instruments of conceding current scholarships from Capes and the proponent Institution;
 - d) In the case of the scholarships, to include the demanding issues to

the candidates regarding their proficiency in languages according to the minimum requirements per modality disposed in Annex XII of the present call;

e) To the not approved candidates, there's a right to interverner with administrative resources and respective response to the interposed resources;

f) Observance of the Decree 7,203, from June 4, 2010 of the Binding Precedent n° 13/STF, when applicable.

3.4.1.10. The Institutional Internationalization Project should **include at least strategies for:**

a) Consolidation of existing international partnerships, as well as the construction of new partnerships and cooperation projects to increase the interaction between the Brazilian institution and research groups abroad;

b) Attraction of foreign students to Brazil;

c) Attraction of lecturers and researchers with international experience for the period of activities in Brazil;

d) Preparation of the lecturers/student for the period abroad and for their return, especially the appropriation by the institution of origin of the knowledge and experience acquired by the beneficiary.

3.4.1.11. The Institutional Internationalization Project **shall include at least the following policies:**

a) Selection of foreign partners, considering that at least 70% of the resources should be allocated to partnerships with institutions in countries with which CAPES has effective cooperation (listed in Annex I), whose collaborations have shown more relevant results in quantitative and qualitative terms;

b) Internal selection of specific actions and beneficiaries, within the funding lines of the Capes-PrInt Program. In the case of cooperation projects with foreign institutions, indicate, when applicable, resource allocation plan, plan of activities, reciprocal financing, academic mobility, joint technical-scientific production, counterparts of partner institutions, among others;

- c) In the case of politics for the selection of research projects into international cooperation to be done with foreign institutions, should predict exigence issues to the Project coordinators by presenting project for resources application, activity plan, prove of mutual financing by the foreign team, a forecast of academic mobility and joint technical-scientific production, counterparts of the partner institution, among other issues;
- d) Hiring professors with recognized scientific performance at international level;
- e) Proficiency in foreign languages of students, post-graduate teachers and staff of the institution that has a direct relationship with the proposed Institutional Internationalization Project;
- f) Recognition of credits and academic and scientific activities carried out by teachers and students abroad;
- g) Reception and accompaniment of foreign teachers, researchers and students;
- h) Appropriation of the knowledge and experience acquired abroad by the beneficiaries of the actions of the Institutional Internationalization Project;
- i) Management and operationalization of the Institutional Internationalization Project;
- j) Internal monitoring and evaluation of the goals and execution of the Institutional Internationalization Project;
- k) Reconciliation of national development programs supported by Capes to the internationalization effort.

3.4.1.12. The Annual Planning of the Activities shall describe in detail the intended actions for the achievement of the objectives and targets established in the Institutional Internationalization Project in the 4 (four) expected years.

3.4.1.13. The planning of the annual budget for the execution of the Institutional Internationalization Project for the period of 4 (four) years will be calculated based on the information at item 2.5, in the financeable items listed in section 4 (On the Funding Available), in the values detailed in the annexes IX, X and XI of the present call and the normative

instruments of Capes.

3.4.1.14. Proponent institutions should offer **Counterparts** to the financing granted, which must include at least the following:

- a) Internationalization of teaching - incorporation of international themes in postgraduate classes;
- b) Production of university publicity material in other languages, including obligatorily version of the pages of the graduate courses;
- c) Training and qualification of staff and technicians for the internationalization of the Proponent Institution.

3.4.1.15. Partnerships with foreign institutions should prioritize those that provide exemption or reduction of academic, administrative or bench fees or any other counterparts offered by foreign entities.

3.4.1.16. Capes may publish the country list and partner entities in which there is a possibility of co-financing made by local partnerships.

3.4.1.17. The partnerships should be formalized between the Proponent Institution and the foreign HEI(s) through international collaboration instruments, such as Cooperation Agreements, Agreements, Memoranda of Understanding, or other related instrument.

4. ON THE FUNDING AVAILABLE

4.1. Capes may provide support or financial resources to the contemplated institutions according to the information below, in accordance with current rules of the Foundation:

4.1.1. **Allowance for overseas work missions**, in the context of **international cooperation research projects** or individual missions, which include travel allowance, allowance for daily expenses of 7 to 20 days and health insurance allowance, according to the respective values available at Annex IX of the current call and according to current regulations of Capes (Capes ordinances nº 59, May 14th, 2013; nº 132, August 18th, 2016; nº 201, October 16th, 2017 and nº 08, January 12th, 2018, along with other pertinent instruments), exclusively for:

4.1.1.1. Activities related to the execution of **international cooperation research projects**.

4.1.1.2. Presentation of research results in international seminars and events of major expression in the knowledgeable area, with the possibility of technical visits in institutions in order to prospect eventual partnerships.

- 4.1.1.3. Activities done by members of the Manager Group or indicated representatives related to viabilization of co-supervision between Brazilian and foreign *strictu sensu* post-graduation courses.
- 4.1.2. **Funding for project maintenance** for specific actions of **research projects in international cooperation**, within the eligible items of the Capes-PrInt Program, according the rules of Capes ordinances n° 59 of 05/14/2013 and n° 08 of 01/12/2018 and other pertinent instruments and in accordance with available values in the Annex IX of the present call;
- 4.1.3. **Scholarships abroad**, according to rules of the Regulations for International Scholarships and other pertinent instruments and in accordance with available values in the Annex X of the present call, in the modalities:
- 4.1.3.1. Sandwich Doctorate, with validity between 6 and 12 months.
 - 4.1.3.2. Senior Visiting Professor (previous senior scholarship abroad with HEI employment relationship), with validity between 3 and 12 months.
 - 4.1.3.3. Junior Visiting Professor (previous post-doctorate with HEI employment relationship), with validity between 3 and 12 months.
 - 4.1.3.4. Training in short courses or summer/winter schools abroad, with validity until 3 months, or allowances to participate in a distance education mode (MOOCs in Brazil, etc) focused on post-graduate students linked to a research project in international cooperation or HEI technical staff.
- 4.1.4. **Scholarships in Brazil**, according to rules of the Regulations for International Scholarships and other pertinent instruments and in accordance with available values in the Annex XI of the present call, in the modalities:
- 4.1.4.1. Visiting professor (applicant must be living and working abroad): for the attraction of reputable and acting professors and residents abroad to deliver courses, trainings, lectures or present seminars, with minimum validity of 15 days and maximum of 12 months, divided into 3 periods maximum along the duration of the Institutional Internationalization Project;
 - 4.1.4.2. Young talent with experience abroad (applicant must be living abroad): for young talented researchers, Brazilian or foreigners, living abroad with proved relevant international scientific-academic experience (such as full master or doctorate, or sandwich modality with a minimum of 12 months) to do the research or teaching activities, with minimum validity of 6 months and maximum of 36 months, during the period of the

Institutional Internationalization Project;

4.1.4.3. Postdoctoral researcher with experience abroad (applicant must be living abroad): for the attraction of researchers and professors, Brazilian and foreigners, residents in Brazil or abroad and that have relevant scientific-academic experience abroad (such as full doctorate or post doctorate with a minimum of 12 months), to do research or teaching activities, with a minimum validity of 6 months and maximum of 36 months, during the period of the Institutional Internationalization Project;

4.1.4.4. In the teaching activities carried out by any of the grantees in Brazil, in the modalities described above, a recording should be made available online as a virtual repository, whenever possible.

4.1.5. Other international actions of costing proposals by the HEIs not contemplated above and with the condition of Capes approval.

4.2. Capes **will not provide** resources for the respective purposes:

4.2.1. Capital expenditures;

4.2.2. Realization of constructions;

4.2.3. *Pro-labore* payments for individuals with employment relation with the contemplated HEI;

4.2.4. Full payment of tuition and fees or bench fees for the foreign institutions partners;

4.2.5. Scholarships and allowances abroad to individuals without formal employment relation with contemplated institution;

4.2.6. Maintenance expenditures of institutional activities, including the ones from office/advisory for internationalization (i.e.: office hour material, water, light, telephone etc), understood as obligated counterpart expenditures of the execution project of the institution;

4.2.7. Work missions of any nature done by the office or advisory for internationalization or by other administrative members of the non-involved institution in the Institutional Internationalization Project management;

4.2.8. Expenditures with ID cards, registrations, pastes and similar issues, certificates, ornamentation, cocktails, dinners, presentations or artistic manifestation of any nature.

4.3. **Execution Bounding:** each Institutional Internationalization Project can be executed until the budget limit approved by Capes, such as resources directly transferred to the contemplated institution - through the Manager and the Manager Group members -, or

in the way of scholarships and allowances paid directly to the beneficiaries of the respective Institutional Internationalization Project, no matter of the quotation of foreign coins in the moment of benefits' payment.

- 4.4. The approved budget of the Institutional Internationalization Project will be the requested value by the proponent in the subscription act, or below limit, according to the approved value by Capes.
- 4.5. The approved budget of the Institutional Internationalization Project shall be presented to Capes in Reais, considering the value tables informed in Annex IX, X and XI of this call.
- 4.6. Capes will not concede additional values beyond the limits approved for concession, even in useful cases of disbursement of all resources or due to exchange variation reasons.
- 4.7. In eventual situations of budget or financial restrictions from Capes, the granted value can be reduced, followed by respective re-adaptation of the Institutional Internationalization Project, or renegotiated concession conditions.
- 4.8. On the attributions and obligations of the **Proposing Institution**:
 - 4.8.1. Ensure the availability of institutional internationalization structure described in the proposal.
 - 4.8.2. Guarantee that the form and selection criteria of the beneficiaries of the actions of the Institutional Internationalization Project are aligned with the basic guidelines of Capes.
 - 4.8.3. Provide conditions for the Institutional Internationalization Project to implement the strategies and policies provided for therein, including the promotion of human resource training in the programs in the Country provided by Capes.
 - 4.8.4. Guarantee the counterparts offered in the proposal to the financing of the Institutional Internationalization Project.

5. ON THE SUBMISSION OF PROPOSALS

- 5.1. The Institutional Internationalization Project shall be completed in electronic format, in English and in Portuguese.

6. ON THE MANDATORY DOCUMENTATION FOR ENROLLMENT:

- 6.1. The following **documents are mandatory**:
 - 6.1.1. **Institutional internationalization plan of the HEI, or a similar document**, with approval by a competent body at the Proponent Institution (Teaching, Research and

Extension Council, postgraduate or similar Council or other body delegated by the competent body);

- 6.1.2. **Executive Summary, in Portuguese and in English**, of this document in which the points of alignment with the proposed Institutional Internationalization Project are highlighted.
- 6.1.3. **Letter issued by the maximum authority of the institution** presenting the proponents to the Manager of the Institutional Internationalization Project and the members of the Management Group, attesting that all comply with the requirements of the call and demonstrating the institutional interest in the presented Project.
- 6.1.4. **List with links from the *Lattes* curriculum** of the Internationalization Project Manager and other members of the Management Group. (<http://lattes.cnpq.br/>).
- 6.1.5. **ORCID identification** of the Manager of the Institutional Internationalization Project and of all the members of his/her Management Group. (<https://orcid.org/>).

7. ON THE PROCESS OF THE PROPOSALS` EVALUATION

7.1. The process of evaluating the proposals for Institutional Internationalization Project shall be conducted by the Directorate of International Affairs with the support of the Program Selection Committee established by it and will follow the specific timetable established in this announcement.

- 7.1.1. **Stage I - Technical Analysis** will consist of the examination by Capes technical team of the following elements:
 - 7.1.1.1. Complete and correct filling out of the electronic registration form;
 - 7.1.1.2. Provision of mandatory documentation for registration;
 - 7.1.1.3. The fulfillment of the requirements by the Proponent Institution;
 - 7.1.1.4. The fulfillment of the requirements by the proponent Manager of the Institutional Internationalization Project;
 - 7.1.1.5. The fulfillment of the requirements by the members of the Management Group of the Institutional Internationalization Project.
- 7.1.2. **Stage II – Merit Analysis and Ranking of Proposals**, carried out by a committee of senior national and international advisors, specifically designated for this purpose, consisting of comparative analysis of the proposals, with the objective of identifying those with the highest scientific and academic merit and that best meet the priorities of the Program, resulting in the attribution of:
 - 7.1.2.1. **Merit Grades (notes 1 to 100)**, according to the following criteria and

judging percentages informed below and in the section PROPOSAL EVALUATION INDICATORS (Annex XIV):

- a) The Institutional Diagnosis demonstrating the excellence degree of the Postgraduate Programs, including the percentage of PPGs with grades 5, 6 or 7 in the Capes' 2017 evaluation, and the respective countries listed in the proposal (15% of the score);
- b) The technical capacity, leadership and international academic experience of the members of the Management Group of the Institutional Internationalization Project (10% of the score);
- c) Coherence and feasibility of the Proposed Institutional Internationalization Project, considering the justification, objectives, indicators, goals and activities proposed (20% of the score);
- d) The innovative character of the Proposed Institutional Project for Internationalization (30% of the score);
- e) Relevance of the proposed Institutional Internationalization Project, considering its impact on the internationalization of the Proponent Institution (25% of the score).

7.1.2.2. Subsequent **ordinal classification of the proposals** through a list that will show the assigned grades and the classification position of each proposal.

7.1.2.3. In the case of a tie **in the merit grades**, the respective breaker in order to define the classification range will consider the criteria sequence informed below:

- a) The highest merit grade assigned to the “d” criteria (innovative character);
- b) The highest merit grade assigned to the “e” criteria (relevance).

7.1.2.4. All proposals for the Institutional Internationalization Project should receive grades and classification. The proposals **with grades equal or below 50 (fifty) will be automatically rejected**.

7.1.2.5. For the deferred proposals, the respective committee can also suggest the budget adequacy predicted in the Institutional Internationalization Project in accordance to Capes financial disposal.

7.1.2.6. The feedback will be informed along with the results announcement and the proponent will have **until 10 (ten) straight days**, by counting from the dispatch date, **to interpose a formal reconsideration request to Capes**.

7.1.2.7. The reconsideration request shall strictly counterpose the rejection causes, not being permitted the inclusion of additional facts or new documents that were not considered in the previous analysis.

7.2.2.7. The reconsideration request shall be presented by means of a signed request letter, limited to 2500 (two thousand and fifty hundred) words, with *Times New Roman* font, 12 as font size number, digitized and sent in PDF format through electronic system.

7.1.3. Stage III– The Final Decision, which will be made by Capes, shall consider:

7.1.3.1. The evaluation by the committee of experts;

7.1.3.2. The financial resources available at Capes.

8. ON THE ESTIMATED TIMETABLE

8.1. The selection process of the presenting Public Call will follow the timetable below:

| Date | Planned Activity |
|---|---|
| Until May 10 th , 2018 | Submission of the proposals |
| Until May 21 st , 2018 | Final form subscription in English |
| Until July 30 th , 2018 | Evaluation of the proposals |
| Starting from July 2 nd , 2018 | Preliminary results of documentary analysis |
| Starting from July 30 th , 2018 | Final results of documentary analysis |
| Starting from September 10 th , 2018 | Preliminary results of merit analysis and respective ranking |
| Starting from November 5 th , 2018 | Announcement of the final results |
| Starting from November 2018 | Implementation of the Institutional Internationalization Projects |

The timetable may be adjusted, which will be duly disclosed by Capes.